

Received date: 01/18/2006

10711889 - GAU: 3501

Attorney Docket: 014033-000037



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Ross L. Stevens  
Serial Number: 10/711,889  
Filed: October 12, 2004  
Group Art Unit: 3624  
Examiner: Unassigned

Confirmation No. 5888

For: METHOD AND SYSTEM FOR BLOCK TRADING OF SECURITIES

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. § 1.56 AND 37 C.F.R. § 1.97**

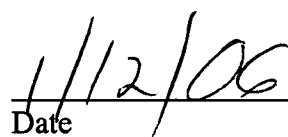
It is respectfully requested that the document(s) listed on the attached Form PTO/SB/08A be considered by the Patent and Trademark Office in the above-referenced application and made of record therein. Full text copies of the relevant documents are enclosed.

Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement. 37 CFR § 1.97(e)(1).

Respectfully submitted,

By:

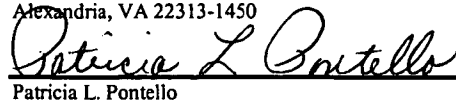
  
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**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the US Postal Service as first class mail on January 12, 2006, in an envelope addressed to Commissioner of Patents, PO Box 1450, Alexandria, VA 22313-1450

  
Patricia L. Pontello

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| Substitute for form 1449A/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(use as many sheets as necessary) |                        | <b>Complete if Known</b> |                  |
|  |                        | Application Number       | 10711,889        |
|  |                        | Filing Date              | October 12, 2004 |
|  |                        | First Named Inventor     | Ross L. Stevens  |
|  |                        | Art Unit                 | 3624             |
| Sheet 1 of <<TEXT>>  | Examiner Name          |                          |                  |
|  | Attorney Docket Number | 014033-000037            |                  |

| U.S. PATENT DOCUMENTS             |                          |  |    |                                |  |   |
|-----------------------------------|--------------------------|--|----|--------------------------------|--|---|
| Examiner<br>Initials <sup>1</sup> | Cite<br>No. <sup>1</sup> | Document Number                          |    | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                                   |                          | Number-Kind Code <sup>2</sup> (if known) |    |                                |  |   |
| /J.P./                            | AA                       | 2002/0128958                             | A1 | 09/12/2002                     | SLONE  |   |
|                                   |                          |  |    |                                |  |   |
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| FOREIGN PATENT DOCUMENTS          |                          |   |  |                                |  |   |                |
|-----------------------------------|--------------------------|---|--|--------------------------------|--|---|----------------|
| Examiner<br>Initials <sup>1</sup> | Cite<br>No. <sup>1</sup> | Foreign Patent Document   |  | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear | T <sup>6</sup> |
|                                   |                          | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) |  |                                |  |   |                |
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| NON PATENT LITERATURE DOCUMENTS   |                          |   |  |
|-----------------------------------|--------------------------|---|--|
| Examiner<br>Initials <sup>*</sup> | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. |  |
| /J.P./                            | AB                       | Stevens et al., "International Application No. PCT/US05/14663", <u>Written Opinion</u> , (Jan. 5, 2006)   |  |
| /J.P./                            | AC                       | Stevens et al., "International Application No. PCT/US05/14663", <u>International Search Report</u> , (Jan. 5, 2006)   |  |

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|-----------------------|----------------|--------------------|------------|
| Examiner<br>Signature | /John Preston/ | Date<br>Considered | 08/31/2009 |
|-----------------------|----------------|--------------------|------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered.

Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /J.P./